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## II. GENERAL GRANT PROPOSAL INFORMATION

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### A. Who May Apply

1. Public or private non-profit organizations are eligible to apply for these funds. Agencies claiming private non-profit status need to provide documentation of their non-profit status such as a certification from the Department of the Treasury, Internal Revenue Service. This certification classifying the applicant administrative agency as a private non-profit **MUST BE INCLUDED** with the submission of the application. A sample of an acceptable certification and a sample letter are provided in **Appendix B** and **C**. Please note that applications from public organizations (e.g., city, county, and universities) are not required to submit documentation to certify non-profit status.

**Please note: This certification or letter must be scanned and uploaded into the Online Tobacco Information System (OTIS) as part of the online application process prior to submission.**

2. As referenced in H&S Code Section 104440 “LLAs shall be ineligible for awards under the competitive grants program, unless the LLA is a participant within a consortium of community-based organizations or nonprofit organizations.” A consortium application must be composed of a total of two or more organizations, including the LLA.
3. State of California agencies, other than state universities and colleges, are not eligible for these funds.
4. Any agency, with the exception of universities and colleges, that receives funding from, or has an affiliation or contractual relationship with a tobacco company, any of its subsidiaries, or parent company, during the term of the grant, is **not eligible** for funding under this RFA. Agency certification to this effect is required on **Attachment 1**. An electronic version of this form is available at: [www.dhs.ca.gov/tobacco/html/funding.htm#rfa07-101](http://www.dhs.ca.gov/tobacco/html/funding.htm#rfa07-101). See **Appendix D** for a partial list of the tobacco company subsidiaries.

With regard to universities and colleges, any Principal Investigator (PI), or any investigator associated with this application, who within the last five years from the start date of the grant period, or during the term of the grant, receives or has received funding from, or has an affiliation or contractual relationship with a tobacco company, any of its subsidiaries, or parent company, is **not eligible** for funding under this RFA. The PI's certification is required on **Attachment 1**.

**Please note: Attachment 1 must be completed and uploaded into OTIS as part of the online application process prior to submission.**

5. Organizations or agencies based outside of California are eligible to apply for this RFA providing that they either have an existing satellite office based in California, or have substantial plans specified in their application to establish a base of operation in California within six weeks of the start of the grant.

## **B. Grant Period, Funding Levels, and Other Grant Requirements**

1. Approximately \$1.8 million is expected to be available for this RFA. Only one applicant will be funded in this RFA process. Award amounts are contingent upon the use of multi-year spending authority and available revenues. Funding from FY 2007-08 and any subsequent FY is contingent upon available revenues and appropriation by the Legislature and the Governor.
2. The grant term will begin *January 1, 2008*, and end *December 31, 2010*. Applications must be for the entire 36-month period. CDHS/TCS will have the option of renewing the grant for an additional two years if funds are available and the applicant has performed to the satisfaction of CDHS/TCS.
3. CDHS/TCS reserves the right to fund any or none of the applications submitted in response to this RFA. CDHS/TCS may also waive any immaterial deviation in any application. CDHS/TCS waiver of any immaterial deviation(s) shall not excuse an application from full compliance with the grant terms if a grant is awarded.
4. CDHS/TCS reserves the right to withdraw any award if an acceptable SOW, Budget Justification, and other CDHS/TCS required forms are not received by CDHS/TCS within **45 calendar days of being negotiated by CDHS/TCS and the applicant**.
5. Expenses associated with preparing and submitting an application are solely the responsibility of the applicant agency and will not be reimbursed by CDHS/TCS.
6. CDHS/TCS reserves the right to withdraw any award or negotiate the SOW of any proposed projects or proposed project components.
7. CDHS/TCS reserves the right to approve or reject any proposed subcontracts or consultants assigned to any project components.
8. CDHS/TCS requires that the applicant certifies that it has appropriate systems and controls in place to ensure that State funds will not be used in the performance of this grant for the acquisition, operation, or maintenance of computer software in violation of copyright laws.
9. A copy of the grant language is posted on the CDHS website at [www.dhs.ca.gov/tobacco](http://www.dhs.ca.gov/tobacco). Changes to this language will **not** be allowed at any time with selected grantee.
10. In the event CDHS/TCS is unable to execute a grant with the initial successful applicant, or the grant is terminated for cause within the first 12 months, CDHS/TCS reserves the right to award a grant to the proposer that earned the next highest

score and met the requirements specified in this RFA without conducting a new RFA process.

## C. Application Submission Requirements

### 1. Letter of Intent

For the purpose of planning the RFA review process, all prospective applicants must submit a letter notifying CDHS/TCS of its intent to submit an application. This letter is not binding and those submitting a letter may elect not to submit an application. **One signed letter of intent is due to the CDHS/TCS office no later than 5 p.m. Pacific Time (PT) on Friday, May 25, 2007.** The letter of intent must be submitted on the applicant's letterhead, signed by an authorized agent, and state the following: the name and number of the RFA under which the application will be submitted, any plans to include proposed subcontractors and/or consultants, and the estimated budget request. **E-mail documents will not be accepted.** Mail or fax the letter of intent to:

Attention: *Robin Shimizu*  
California Department of Health Services  
Tobacco Control Section  
MS 7206  
P.O. Box 997413  
Sacramento, CA 95899-7413  
Fax (916) 449-5517

Clearly indicate on the outside of the mailing envelope or fax transmittal sheet "Capacity Building Center for Diverse Populations, RFA TCS 07-101."

### 2. Application

The application process will consist of four stages. The applicant must receive a passing score in each stage prior to moving forward to the next stage of the application process. The Stage I application will be submitted electronically via OTIS. For specific information on this process refer to Section IV, Application Requirements and Instructions. The deadline to submit Stage I applications online through OTIS is **5 p.m. PT on June 18, 2007.**

By submitting an application, all applicants agree that CDHS/TCS is authorized to verify any and all claimed information. All applications received by CDHS/TCS are subject to the provisions of the "California Public Record Act" (Government Code Section 6250 *et seq.*) and are considered confidential until after successful negotiation and award with the selected agency has been completed.

### 3. Telephone Technical Assistance

*Telephone technical assistance is available to applicants seeking clarification on RFA requirements or OTIS data entry. Technical assistance related to*

*programmatic content will not be provided. Agencies may call (916) 449-5500 at any time during this period. Additionally, TCS will address questions during the Information Meetings scheduled for Stage I on May 14, 2007, and for Stage II on July 20, 2007.*

**4. RFA Information Meeting and Online Application Training using AVAYA©**

a. In order to enhance maximum participation, CDHS/TCS has scheduled an Information Meeting and Online Application Training on **Monday, May 14, 2007**. The purpose of this meeting is to review the RFA with potential applicants, provide training for the OTIS application process, as mentioned on page 15 of the RFA, *and answer questions regarding the RFA requirements*. The Information Meeting and Online Application Training will **not** be in-person. The meeting will be a combined Internet and teleconference call utilizing Avaya© software. Avaya© is an interactive visual meeting program allowing for voice participation using a personal computer with an Internet link **and** a regular conventional telephone line. It should be noted, however, that written information contained in RFA TCS 07-101 takes precedence over any information gained at the Information Meeting and Online Application Training. Attendance at this meeting is recommended, but is considered optional. It is the responsibility of the applicant to read and understand the instructions in order to access the Information Meeting and Online Application Training prior to the meeting date.

b. ***In order to participate, applicants and their potential subcontractors must register by Thursday, May 10, 2007, at 5 p.m. PT, at <http://www.surveymonkey.com/s.asp?u=281793521977>, teleconferencing system to receive security codes to access Avaya and the phone teleconferencing system.*** During the registration process, agencies will be provided with instructions to test their connection to access Avaya and the web conference and teleconference access codes. Please carefully review **Appendix J** for the equipment/software minimum specifications for a compatible connection to CDHS/TCS.

**c. Mandatory Test Session to Access Avaya©**

***Agencies planning to attend the Information Meeting and Online Application Training are required to attend a mandatory test session on Friday, May 11, 2007 at 1:00 p.m. – 3:00 p.m. PT to determine if access to Avaya© is available through their current agency equipment/software.*** The test session provides agencies with an opportunity to test Internet connects and to eliminate technical problems in advance of the Information Meeting and Online Application Training. During the registration process, agencies will be provided with instructions to test their connection to access Avaya.

d. **Information Meeting and Online Application Training**

The Avaya© meeting and the phone teleconferencing system are password protected.

Agencies must register to reconcile the needed security codes to participate (see paragraph b above). The Information Meeting and Online Application Training will include an overview of the CTCP training and technical assistance needs and a preliminary orientation to OTIS, since the application will be submitted electronically to CDHS/TCS. The meeting session has a maximum capacity for 35 individual participant connections. Applicants should use speakerphones if more than one person would like to attend, and activate the mute function on the equipment being used (if your telephone does not have a mute key, you can enter \*6). CDHS/TCS is requesting that participants do not use cellular telephones for these meetings because connection problems can occur. In the event that any participant's connection causes interference and is a disruption to the meeting, the line causing the interference will be disconnected from the call. Applicants will be limited to one user name and pass code in order to allow for more lines to be available for other meeting participants. The CDHS/TCS Webmaster representative can be contacted by calling (916) 449-5500 to request assistance.

**Applicants are strongly encouraged to log onto the Avaya© system 30 minutes before the meeting starts.**

The Information Meeting and Online Application Training session is scheduled for:

**MONDAY**  
**May 14, 2007**  
**8:30 a.m. to 1:00 p.m. PT**

**Information Meeting and Online Application Training  
Agenda**

8:30 a.m.	-	9:00 a.m.	Applicant Connections to Avaya© and Teleconference
9:00 a.m.	-	9:30 a.m.	<i>Welcome and</i> CDHS/TCS Overview of Training/Technical Assistance Needs
9:30 a.m.	-	10:15 a.m.	RFA Presentation
10:15 a.m.	-	10:30 a.m.	Break
10:30 a.m.	-	11:00 a.m.	Question and Answer Period
11:00 a.m.	-	12:00 p.m.	OTIS Training
12:00 p.m.	-	1:00 p.m.	Question and Answer Period

A question and answer period will follow the RFA presentation. Agencies *are encouraged to fax* questions to CDHS/TCS *prior to or* at any time during the presentation using the following fax lines: (916) 449-5505 or (916) 449-5517. CDHS/TCS staff will have a 15 minute break between the end of the RFA

presentation and the start of the question and answer period to *review the questions and* prepare responses to faxed questions.

***Please note: A summary of the participant questions, CDHS/TCS responses, and a list of the individuals that participated will not be posted. It is the applicants' responsibility to take their own notes.***

The *Information Meeting* PowerPoint presentation will be available at the CDHS/TCS website: [www.dhs.ca.gov/tobacco/html/funding.htm#rfa07-101](http://www.dhs.ca.gov/tobacco/html/funding.htm#rfa07-101), **by 5 p.m. PT on May 11, 2007**, for those applicants that would like to download the presentation prior to the Information Meeting and Online Application Training.

Any costs incurred by individuals or applicants participating in the Information Meetings are the sole responsibility of the attendees and will not be reimbursed by CDHS/TCS.

#### **D. Review of Stages of the Application Submission Process**

This is a four stage application process. Stage I and Stage II will be submitted to CDHS/TCS through an online application process. Stage III will consist of an Oral Presentation at the CDHS/TCS office and Stage IV will consist of an on-site visit by the review team to the applicant agency. Applicants must pass each stage before proceeding to the next stage in the application process. **DO NOT WORK AHEAD ON STAGES.** Applicants will be notified by letter, fax, or e-mail of their ability to move to the next stage. Below is a recap of the stages and the Application Submission process. See Section IV, Application Requirements and Instructions, for more detailed information.

##### **1. Stage I – Agency Capability**

**Stage I applications must be submitted electronically via OTIS and received by 5 p.m. PT on June 18, 2007.**

Stage I is designed to provide reviewers with information regarding the applicant's capability to provide training and technical assistance services as required in this RFA. Applications must be complete at the time of submission. Applications that do not comply with the submission requirements will be considered non-responsive and will be excluded from the review. Omission of any required document or form, failure to use the required formats for response, or failure to respond to any requirement may lead to rejection of the application prior to review. CDHS/TCS may waive any immaterial deviation in any application; however, this waiver shall not excuse an application from full compliance with the grant terms if a grant is awarded.

*During Stage I of the application process, if an applicant is proposing to use subcontractors and/or consultants, the applicant should name (if possible) the subcontractors/consultants that they have assembled as part of the team to*

*provide professional diversity training and technical assistance to each of the eight priority populations identified in the RFA. If the applicant is not able to name the subcontractors/consultants, the applicant can describe how they will assemble an outstanding team, how the team members were identified, the criteria for selection, and how they will be recruited.*

*During Stage II of the RFA process, the applicant will provide the name of each of the subcontractors/consultants, specify the responsibility in the SOW, and provide budget justification detail.*

## **2. Stage II – SOW, Narrative Summary, and Budget Justification**

**Stage II applications must be submitted electronically via OTIS and received by 5 p.m. PT on August 17, 2007.**

Agencies passing Stage I will be notified through letter, fax, or e-mail to participate in Stage II of the application process. Stage II will provide applicants with the opportunity to provide a detailed and well-organized three-year SOW with corresponding budget. Stage II applications must be complete at the time of submission. Applicants will need to address the training and technical assistance needs of CDHS/TCS agencies working with identified priority populations and the goals for the Capacity Building Center. Stage II applicants will be provided with an additional Avaya© teleconference to assist in preparing their applications using OTIS. Those applicants that pass Stage I are invited to attend the Avaya© training scheduled on:

**WEDNESDAY  
July 20, 2007  
8:30 a.m. to 1:00 p.m. PT**

### **Online Application Training for Stage II - Scope of Work, Narrative, and Budget Justification Agenda**

8:30 a.m.	-	9:00 a.m.	Applicant Connections to Avaya© and Teleconference
9:00 a.m.	-	9:30 a.m.	Welcome and Overview of Training/Technical Assistance Needs
9:30 a.m.	-	10:30 a.m.	RFA Presentation
10:30 a.m.	-	10:45 a.m.	Break
10:45 a.m.	-	11:30 a.m.	Question and Answer Period
11:30 a.m.	-	12:30 p.m.	OTIS Training
12:30 p.m.	-	1:00 p.m.	Question and Answer Period

A question and answer period will follow the RFA presentation. Applicants may fax questions to CDHS/TCS at any time during the presentation using the following fax lines: (916) 449-5505, or (916) 449-5517. CDHS/TCS staff will have a 15 minute break between the end of the presentation and the start of the

question and answer period to prepare responses to faxed questions. A summary of the participant questions and CDHS/TCS responses or a list of the individuals that participated will **NOT** be disseminated following the Stage II online application training.

The RFA PowerPoint presentation will be available at the CDHS/TCS website: [www.dhs.ca.gov/tobacco/html/funding.htm#rfa07-101](http://www.dhs.ca.gov/tobacco/html/funding.htm#rfa07-101), at 5 p.m. PT on **July 19, 2007**, for those applicants that would like to download the presentation prior to the Stage II online meeting.

Any costs incurred by individuals or applicants participating in the Information Meetings are the sole responsibility of the attendees and will not be reimbursed by CDHS/TCS.

**3. Stage III – Oral Presentations will take place October 10-11, 2007**

Applicants that pass Stage II will be notified through letter, fax, or e-mail to participate in Stage III. Stage III will require an addendum to this RFA and will also be posted on the CDHS/TCS website. The addendum will contain additional instructions and information for the applicants to prepare the oral presentations to address two case study scenarios. Stage III applicants will make oral presentations related to these scenarios to the review panel at the CDHS/TCS office in Sacramento. Applicants will be responsible for all travel costs associated with oral presentations.

**4. Stage IV – On-site Visit will take place November 1-6, 2007**

Applicants that pass Stage III will be notified through letter, fax, or e-mail to participate in Stage IV. Stage IV will require an addendum to this RFA and will also be posted on the CDHS/TCS website. The addendum will provide applicants with additional information regarding the on-site visit. A review panel will tour prospective agencies, meet and interview staff and subcontractors and/or consultants, if applicable, to ensure the applicant's capacity in terms of: physical space, equipment, expertise to address the goals of the Capacity Building Center, delivering training and technical assistance using diverse methods, and addressing diverse populations.

**E. Application Review**

Each application that complies with the mandatory requirements will be evaluated and scored by a review committee on the scale identified below for each stage of the RFA (e.g., Stage I is scored on a scale of 0 to 50 points, Stage II is scored on a scale of 0 to 80 points, etc.) At each stage, the applicants will be evaluated to the extent they meet or exceed the minimum requirements identified for each section of the RFA. The review committee may include representatives from voluntary health



organizations, government agencies, public and private non-profit organizations, and state colleges and universities.

Applicants must pass Stage I to move to Stage II. Applicants must pass Stage II to move to Stage III, and applicants must pass Stage III to move to Stage IV. For applicants that proceed through all four stages, the scores for Stages I and II will be summed and weighted at 45 percent; Stages III and IV will be weighted at 55 percent. The applicant with the highest total weighted score will be awarded the grant.

The points for each stage are as follows:

Stage I – Agency Capability (Minimum Points to Advance to Stage II: 40 points)	50 points
Stage II – SOW, Narrative Summary, Budget Justification (Minimum Points to Advance to Stage III: 64 points)	80 points
Stage III – Oral Presentation at CDHS/TCS (Minimum Points to Advance to Stage IV: 64 points)	80 points
Stage IV – On-site Visit (Agencies must score a minimum of 32 points on Stage IV)	<u>40 points</u> 250 points

## 1. Notification of Decision

Only those applicants that participate in Stage I and pass to Stages II, III, and IV, whether selected for funding or denied, will be notified in writing of the final funding decision. Those applicants who participated in all four stages may receive, upon written request to CDHS/TCS, their consensus review tool summary page which provides the score and overall strengths and weaknesses of their application. Only one applicant will be funded in this RFA process.

## 2. Grant Negotiation

Following the final award notification, a grant negotiation will occur with the potential contractor in a timely manner. CDHS/TCS reserves the right to reject any proposed project(s), project component(s), or subcontractors/consultants. Following grant negotiation, the grant awardee is required to submit a final SOW and Budget Justification in accordance with CDHS/TCS requirements, which will become part of the formal grant. Upon completion and approval of these documents, the grant will be fully executed and work will commence. In the event that CDHS/TCS is unable to execute a grant with the initial successful applicant, or the grant is terminated for cause within the first 12 months, CDHS/TCS reserves the right to award a grant to the proposer that earned the next highest score and met the requirements specified in this RFA, without conducting a new RFA process.

## F. Appeals Process

Only those applicants that submit an application consistent with the requirements of this RFA for all four stages, and are not funded, may appeal. Applicants may not submit an appeal based on funding level or failure to pass Stages I - III. Appeal letters based on the final application selection must be received **no later than 5 p.m. PT on November 19, 2007, at the address indicated below**. E-mail transmitted documents will not be accepted. Appeals shall be limited to the grounds that CDHS/TCS failed to correctly apply the standards for reviewing your agency's application in accordance with this RFA. Applicants cannot appeal until all four stages of the review process have been completed. The appellant must file a written appeal, which includes the issue(s) in dispute, the legal authority or other basis for the appellant's position, and the remedy sought. Incomplete appeals will be rejected. Appeals must be mailed or faxed to:

Donald O. Lyman, M.D., Chief, or Designee  
California Department of Health Services  
Division of Chronic Disease and Injury Control  
MS 7200  
P.O. Box 997413  
Sacramento, CA 95899-7413  
Fax (916) 449-5517

At the sole discretion, the Chief of the Division of Chronic Disease and Injury Control, or his designee, may hold an appeal hearing with each appellant and then come to a decision. An appeal decision can be based on either the combination of the written appeal letter and the evidence presented at the hearing, or based on the written appeal letter if no hearing is conducted. The decision of the Chief of the Division of Chronic Disease and Injury Control, or his designee, shall be final. There is no further administrative appeal. Appellants will be notified of decisions regarding their appeal in writing within 15 working days of their hearing date or the consideration of the written appeal letter if no hearing is conducted.

## G. Tentative Timelines

<i>May 3, 2007</i>	<i>Release of Addendum No. 1</i>
<i>May 7-21, 2007</i>	<i>Question and Answer Period for applicants to seek clarification on RFA requirements</i>
<i>May 10, 2007</i>	<i>Registration deadline for Information Meeting and Online Training to be held on May 14, 2007 (see page 14 for more information)</i>
<i>May 10-June 16, 2007</i>	<i>Applicants may begin to request a user ID and password for OTIS access. Requests will be granted through June 16, 2007 (see page 25)</i>

<i>May 11, 2007</i>	<i>1 p.m. - 3 p.m. PT, test session for Information Meeting and Online training to be held on May 14, 2007</i>
<i>May 14, 2007</i>	<i>Information Meeting and Online Training – Avaya© Web meeting session</i>
<i>May 25, 2007</i>	<i>Letter of Intent due to CDHS/TCS no later than 5 p.m. PT</i>
<b>June 18, 2007</b>	<b>Stage I Agency Capability Applications due to CDHS/TCS via OTIS no later than 5 p.m. PT</b>
<i>July 13, 2007</i>	Advancement Results for Stage I announced
<i>July 20, 2007</i>	<i>Stage II Information Meeting and Online Training for submission of SOW, Narrative, and Budget Justification – Avaya© Web meeting session</i>
<b>August 17, 2007</b>	<b>Stage II SOW, Narrative, and Budget Justification Applications due to CDHS/TCS via OTIS no later than 5 p.m. PT</b>
<i>September 12, 2007</i>	Advancement Results for Stage II announced
<i>September 14, 2007</i>	Release of Addendum and Application Instructions for Stage III
<b>October 10-11, 2007</b>	<b>Stage III – Applicant Oral Presentations at CDHS/TCS</b>
<i>October 15, 2007</i>	Advancement Results for Stage III announced. Applicants will be notified of the site visit date
<i>October 17, 2007</i>	Release of Addendum and Application instructions for Stage IV
<b>November 1-6, 2007</b>	<b>Stage IV – Applicant Site Visits</b>
<i>November 8, 2007</i>	Award Letters Released
<b>November 19, 2007</b>	<b>Appeals due to TCS no later than 5 p.m. PT</b>
<i>November 27, 2007</i>	Appeal Hearings
<i>January 1, 2008</i>	Grant period begins
<i>December 31, 2010</i>	Grant period ends